Ostrolenk, Faber, Gerb & Soffen, llp

1180 AVENUE OF THE AMERICAS. NEW YORK, NEW YORK 10036-8403 TEL 212 382 0700 FAX 212 382 0888 FAX 212 398 0681 TELEX 236925 email@ostrolenk.com

PARTNERS

SAMUEL H. WEINER ROBERT C. FABER EDWARD A. MEILMAN STANLEY H LIEBERSTEIN STEVEN I. WEISBURD MAX MOSKOWITZ STEPHEN A. SOFFEN JAMES A. FINDER

WILLIAM O. GRAY, III LOUIS C. DUJMICH CHARLES P. LAPOLLA 😞 DOUGLAS A. MIRO ALFRED R. FABRICANT

ASSOCIATES

PETER MCGEE* MARC LIEBERSTEIN CHARLES C. ACHKAR, Ph.D. WILLIAM A. BONK, III** MICHAEL I SCHEER ALLISON B. HOCH ELLEN S. TAO* ALAN M. WEISBERG

LARISSA A. RIPPA

PETER S. SLOANE STEVEN S. RUBIN MARK D.TORCHÉ JOEL J. FELBER*** BRENDAN J. KENNEDY*** KOUROSH SALEHI***

MARVIN C. SOFFEN JEROME M. BERLINER MARTIN PEFFER LEON ZITVER* LAWRENCE A HOFFMAN **"DC BAR** "MICHIGAN BAR ""CONNECTICUT BAR

OF COUNSEL

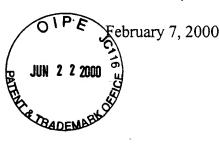
WASHINGTON OFFICE 1725 K STREET, N. W. WASHINGTON, D.C. 20006 TEL 202 457 7785 FAX 202 429 8919

RECEIVED

JUN 26 2000

OFFICE OF PETITIONS DEPUTY A/C PATENTS

Mark P. Kesslen, Esq. The Chase Manhattan Bank 1 Chase Manhattan Plaza 25th Floor



New York, NY 10081

Re:

OFGS File: P/2167-158 New Patent Application

Inventor: Albert Kwang-Hwa SUN, et al.

SYSTEM AND METHOD FOR INTEGRATING TRADING OPERATIONS INCLUDING THE GENERATION, PROCESSING AND TRACKING

OF AND TRADE DOCUMENTS

Dear Mark:

Enclosed a copy of the complete patent application papers which were forwarded to the U.S. Patent and Trademark Office on January 31, 2000.

Please also find enclosed a copy of a Declaration and Power of Attorney in connection with the above-identified application. Kindly have the inventors execute the enclosed Declaration and Power of Attorney and return the same to me for filing in the United States Patent and Trademark Office at your earliest convenience.

Applicants and their attorneys are under a duty to disclose to the Examiner any prior art which (1) either alone or in combination with other information, establishes a prima facie case of unpatentability, or (2) is inconsistent with any of the applicant's arguments in

Ostrolenk, Faber, Gerb & Soffen, LLP

Mr. Mark Kesslen, Esq. February 7, 2000 Page 2



favor of patentability. To be safe, we recommend that you identify to us any information which may relate to the patentability of the invention including all prior art patents or publications cited in corresponding patent applications throughout the world.

An Information Disclosure Statement citing relevant prior art must normally be filed with the United States Patent and Trademark Office within three (3) months of the time that the applicant or the attorney became aware of the information, or an additional Patent Office fee must be paid. Please send any relevant prior art to us as soon as it comes to your attention.

The official filing receipt, containing the official serial number and filing date, will be sent to you in due course.

Very truly yours,

OSTROLENK, FABER, GERB & SOFFEN, LLP

Michael J. Scheer

SIW/MJS:swu Enclosures

UNITED STATES OF AMERICA COMBINED DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION P/2167-158						
As a below named inventor, I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that I verily believe that I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named) of the subject matter which is claimed and for which a patent is sought on the invention entitled: SYSTEM AND METHOD FOR INTEGRATING TRADING PREPARATIONS INCLUDING THE						
	SSING AND				COUNT	
GENERALION, PROCE	SSING AND	TRACKING C	or AND IRAI	3/	COUNT	
the specification of which is attached	hereto, unless the follo	owing box is checked	: S JUN 2 2	2000 6		
was filed on	,	as United St	ates parent Application	n Number	or PCT Inte	emational patent
application number		and was amended	i on	, E		(if any).
was filed on as United States paint Application Numbs or PCT International patent application number and was amended on (if any). I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose all information known to be material to patentability in accordance with Title 37, Code of Federal Regulations, § 1.56.						
I hereby claim priority benefits und States provisional application(s) listed date before that of the application on	der Title 35, United Sta I below and have also i which priority is claim	identified below any i ed:	foreign application (s	patent or	inventor's	certificate having a filing
Prior Foreign or Provisional Applicati	on(s)					
COUNTRY	APPLICATIO	N NUMBER	DATE OF (day, mon	FILING th, year)		PRIORITY CLAIMED UNDER 35 U.S.C. 119
United States	60/113,56	1	23/12/98			YES X NO
United States	60/113,643	3	23/12/98			YES X NO
I hereby claim the benefit under Ti of each of the claims of this applicatio United States Code, §112, I acknowle Regulations, §1.56 which became ava application.	tle 35, United States C on is not disclosed in the dge the duty to disclose ilable between the filin	ode, §120 of any Unite prior United States e information which ag date of the prior ap	ted States application application in the ma- is material to patentab oplication and the nation	(s) listed be nner provid ility as def onal or PC	elow and, i ded by the ined in Tit T internation	nsofar as the subject matter first paragraph of Title 35, le 37, Code of Federal onal filing date of this
UNITED STATES APPLICATION NUMBER		DATE OF FILING (day, month, year)		(STATUS (patented, pending, abandoned)	
*						
I hereby appoint customer no. 2352 OSTROLENK, FABER, GERB & SOFFEN, LLP, and the members of the firm, Samuel H. Weiner - Reg. No. 18,510; Jerome M. Berliner - Reg. No. 18,653; Robert C. Faber - Reg. No. 24,322; Edward A. Meilman - Reg. No. 24,735; Stanley H. Lieberstein - Reg. No. 22,400; Steven I. Weisburd - Reg. No. 27,409; Max Moskowitz - Reg. No. 30,576; Stephen A. Soffen - Reg. No. 31,063; James A. Finder - Reg. No. 30,173; William O. Gray, III - Reg. No. 30,944; Louis C. Dujmich - Reg. No. 30,625 and Douglas A. Miro - Reg. No. 31,643, as attorneys with full power of substitution and revocation to prosecute this application, to transact all business in the Patent & Trademark Office connected therewith and to receive all correspondence.						
SEND CORRESPONDENCE TO: OSTROLENK, FABER, GERB & SOFFEN, LLP DIRECT TELEPHONE CALLS TO: 1180 AVENUE OF THE AMERICAS (212) 382-0700 NEW YORK, NEW YORK 10036-8403 CUSTOMER NO. 2352						
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.						
FULL NAME OF SOLE OR FIRST INVENTO Albert Kwang-Hwa SUN	PR	INVENTOR'S SIGNAT	TURE		DATE	
recorder of the country character of the country			of CITIZE States			
POST OFFICE ADDRESS 322 13 th Street, Brooklyn,	New York 112	15				
FULL NAME OF SECOND JOINT INVENTOR (IF ANY) Tak Ming CHAN		DATE				
Table 2 (cm) and chiner state or 1 or or 31 commy)			OF CITIZE	NSHIP		
Kwun Tong, Hong Kong British						
POST OFFICE ADDRESS 5C Block 10 Laguna City	Kwiin Tong I	Hong Kong				•
5C Block 10, Laguna City, Kwun Tong, Hong Kong FULL NAME OF THIRD JOINT INVENTOR (IF ANY) INVENTOR'S SIGNATURE DATE						
Jacqueline LAYER	- ·					
RESIDENCE (City and either State or Foreign Country) COUNTRY OF CITIZENSHIP						
Dorset, United Kingdom United Kingdom						
POST OFFICE ADDRESS Heddle House, Iwerne Minster, Blanford, Dorset United Kingdom						

	NITED TES OF AMERICA AND POWER OF ATTORNEY FOR PA	ATENT APPLICATION		OFGS FILE NO. P/2167-158
COUNTRY	APPLICATION NUMBER	DATE OF FILI (day, month, ye		PRIORITY CLAIMED UNDER 35 U.S.C. 119
PCT	PCT/US99/30976	11/12/99	<i></i>	YES <u>X</u> NO
				YES NO
				YES NO
	OIP.E			YES NO
	1000			YES NO
	5 d			YES NO
	JUN 2 2 2000			YES NO
	E S			YES NO
	RADEMARK			YES NO
:				YES NO
				YES NO
				YES NO
I be true: and further that these state:		at willful false statements an	id the like s	o made are nunishable by fine or
Nicole Gabrielle Rodrig		INVENTOR'S SIGNATURE		BAIL
RESIDENCE (City and either State or New York, NY	Foreign Country)		COUNTRY OF CITIZENSHIP United States	
POST OFFICE ADDRESS 272 First Avenue, Apt.7	C. New York 10009			,
FULL NAME OF FIFTH JOINT INVENTOR Stephen Pan CHEUNG	DR, IF ANY	INVENTOR'S SIGNATURE		DATE
RESIDENCE (City and either State or Foreign Country) Tsuen Wan, Hong Kong				y of citizenship Kong, China
POST OFFICE ADDRESS Flat E, 18/F, Tower 3, I	Discovery Park, Tsuen Wan.	, Hong Kong		
FULL NAME OF SIXTH JOINT INVENTOR Patrick Shu Pui KO	DR, IF ANY	INVENTOR'S SIGNATURE		DATE
RESIDENCE (City and either State or Foreign Country) Shan Kwong Road, Happy Valley			1	y of citizenship Kong, China
POST OFFICE ADDRESS 2/F Flat F, Shan Kwong	Towers, 24 Shan Kwong R	Road, Happy Valley	, Hong	Kong
FULL NAME OF SEVENTH JOINT INVE Sammy Shun Yuen FU		INVENTOR'S SIGNATURE		DATE
RESIDENCE (City and either State or Foreign Country) Kowloon, Hong Kong			Country	y of Citizenship la
POST OFFICE ADDRESS 5E, 5 Perth Street, Ilford	Court, Kowloon, Hong Ko	ong	•	
FULL NAME OF EIGHTH JOINT INVENT Thomas William HALP	TOR, IF ANY	INVENTOR'S SIGNATURE		DATE
RESIDENCE (City and either State or Irvington, New York				y of citizenship
POST OFFICE ADDRESS 1 Mountain Road, Irving	gton, New York 10533			

			U	
	NITED STATES OF AMERICA AND POWER OF ATTORNEY FOR PA	ATENT APPLICATION		OFGS FILE NO. P/2167-158
				
COUNTRY	APPLICATION NUMBER	DATE OF FILI (day, month, ye		PRIORITY CLAIMED UNDER 35 U.S.C. 119
				YES NO
				YES NO
	OLPE			YES NO
				YES NO
	(,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,			YES NO
	JUN 2 2 2000 J			YES NO
				YES NO YES NO
	En LAB	·		YES NO
	TANEM .			YES NO
				YES NO
				YES NO
application or any patent issued the FULL NAME OF NINTH JOINT INVENT Yoke Bee YAP RESIDENCE (City and either State or New York, NY POST OFFICE ADDRESS	OR, IF ANY	INVENTOR'S SIGNATURE	countr Malay	DATE Y OF CITIZENSHIP
425 East 63 rd Street, Ap	t. W2A, New York, NY 10	0021 INVENTOR'S SIGNATURE		DATE
Zeno Fook Chuen CHOW		INVENTOR'S SIGNATURE		
RESIDENCE (City and either State or Foreign Country) Yuen Long, N.T., Hong Kong			Hong Kong, China	
POST OFFICE ADDRESS 12 San Francisco Avenu	ie, Royal Palms, Yuen Lon	g, N.T., Hong Kons	7	
FULL NAME OF ELEVENTH JOINT INV Kelvin Yatsun LEUNG	ENTOR, IF ANY	INVENTOR'S SIGNATURE		DATE
RESIDENCE (City and either State or Foreign Country) Pelham, New York			1	y of citizenship d States
POST OFFICE ADDRESS 30 Highbrook Avenue, I	Pelham, New York 10803			
FULL NAME OF TWELFTH JOINT INVE		INVENTOR'S SIGNATURE		DATE
RESIDENCE (City and either State or Foreign Country) Shatin, Hong Kong		COUNTRY British	Y OF CITIZENSHIP	
POST OFFICE ADDRESS Block G, 20/F, Flat 1, St	unshine City, Man on Shan	, Shatin, Hong Kon	g	
FULL NAME OF THIRTEENTH JOINT INVENTOR, IF ANY Man Pui TSIM		INVENTOR'S SIGNATURE		DATE
RESIDENCE (City and either State or Foreign Country) Hong Kong			COUNTRY OF CITIZENSHIP Australia	
POST OFFICE ADDRESS 37C Ko Fung Court, Foo	ok Yum Street, Hong Kong	3		
FULL NAME OF THIRTEENTH JOINT IN SOI SOLOMON	VENTOR, IF ANY	INVENTOR'S SIGNATURE		DATE
RESIDENCE (City and either State or I	Foreign Country)		COUNTRY	OF CITIZENSHIP
POST OFFICE ADDRESS		,,,,,,,,,		

WHEREAS, we, <u>Albert Kwang-Hwa Sun</u>, <u>Tak Ming Chan</u>, <u>Jacqueline Layer</u>, <u>Nicole Gabrielle Rodriquez Toulis</u>, <u>Stephen Pan Cheung</u>, <u>Patrick Shu Pui Ko</u>, <u>Sammy Shun Yuen Fung</u>, <u>Thomas William Halpin</u>, <u>Yoke Bee Yap</u>, <u>Zeno Fook Chuen Chow</u>, <u>Kelvin Yatsun Leung</u>, <u>Kwok Keung Yeung</u>, <u>Man Pui Tsim and Sol Solomon</u> as assignors, have invented certain improvements in <u>SYSTEM AND METHOD FOR INTEGRATING TRADING OPERATIONS INCLUDING THE GENERATION</u>, <u>PROCESSING AND TRACKING OF AND TRADE DOCUMENTS</u> for which an application for United States Letters Patent has been executed by me of even date herewith; and

WHEREAS, The Chase Manhattan Bank, a corporation organized and existing under the laws of the State of Delaware and having a principal place of business at 270 Park Avenue, 41st Floor, New York, New York 10036, as assignee, is desirous of acquiring all right, title and interest in and to said invention and any Patent that may be granted therefor.

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, I, as assignor, hereby sell, assign and set over to said assignee the entire right, title and interest for the United States and all other countries in and to said invention and the aforesaid application for Patent, all original, divisional, continuation, substitute or reissue applications and patents applied for or granted therefor in the United States and all other countries, including all rights of priority from the filing of said application, and all rights for past infringement, and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on said inventions or resulting therefrom to said assignee herein, as assignee of the entire interest therein; and the undersigned for myself and my legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all divisional, continuation, reissue and other applications for Patent on said inventions and all assignments thereof to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said inventions, whenever requested, to testify in any interferences or other legal proceedings in which any of said applications or patents may become involved, to sign all lawful papers, make all rightful oaths, and to do generally everything necessary to assist assignee, its successors, assigns and nominees to obtain patent protection for said invention in the United States and all other countries, the expenses incident to said applications to be borne and paid by said assignee.

Date:		
	,	Albert Kwang-Hwa SUN
STATE OF)	
) ss.:	
COUNTY OF)	·
This		, 20, before me personally came the
above-named		rsonally known as the individual who executed the
		to me that the same was executed by him of his own
free will for t	he purposes therein set	forth.
		Notary Public - Seal

,		
Date:		
	JUN 2 2 2000 6	Tak Ming CHAN
		,
STATE OF)	C A D THANK OF	
) SS.:	OLIEMB!	
COUNTY OF)		
This day of		, 20 , before me personally came the
above-named , to	me personally kr	, 20, before me personally came the nown as the individual who executed the
foregoing instrument, who acknow	\prime ledged to me that	the same was executed by him of his own
free will for the purposes there	in set forth.	
		Notary Public - Seal
	•	•
Date:		
•		Jacqueline LAYER
STATE OF)		
) ss.:		
COUNTY OF)		
This day of		, 20, before me personally came the own as the individual who executed the
above-named , to	me personally kn	own as the individual who executed the the same was executed by him of his own
free will for the purposes there		the same was executed by nim of his own
		·
		Notary Public - Seal
		Notary Fubire - Sear
:		
Date		
Date:		Nicole Gabrielle Rodriguez TOULIS
•		Micole dubilette Rouliguez Toobio
STATE OF)		
) ss.:		
COUNTY OF)		• •
This day of		, 20 , before me personally came the
above-named , to	me personally know	, 20, before me personally came the own as the individual who executed the
foregoing instrument, who acknowl	ledged to me that	the same was executed by him of his own
free will for the purposes therei	in set forth.	
	-	Notary Public - Seal

Date:	
	Stephen Pan CHEUNG
STATE OF) ,	·
COUNTY OF This day of, to me personally knowledged to me that free will for the purposes therein set forth.	, 20, before me personally came the nown as the individual who executed the the same was executed by him of his own
	Notary Public - Seal
Date:	Patrick Shu Pui KO
STATE OF	
) ss.: COUNTY OF	
This day of, to me personally kr above-named, to me personally kr foregoing instrument, who acknowledged to me that free will for the purposes therein set forth.	lown as the individual who executed the
	Notary Public - Seal
	,
3	•
Date:	Sammy Shun Yuen FUNG
STATE OF) .	
COUNTY OF)	
This day of, to me personally kn above-named, to me personally kn foregoing instrument, who acknowledged to me that free will for the purposes therein set forth.	, 20, before me personally came the own as the individual who executed the the same was executed by him of his own
	Notary Dublic - Coal

Date:	·
	Thomas William HALPIN
STATE OF)	
) ss.:	
COUNTY OF)	
This day of	, 20, before me personally came the
above-named, to me personally } foregoing instrument, who acknowledged to me that	known as the individual who executed the
free will for the purposes therein set forth.	te the same was executed by firm of firs own
- ·	
	Notary Public - Seal
	•
Date:	Yoke Bee YAP
	TORE BEE TAP
STATE OF)	
) ss.:	
COUNTY OF)	
This day of	, 20, before me personally came the
	nown as the individual who executed the
foregoing instrument, who acknowledged to me that	t the same was executed by him of his own
free will for the purposes therein set forth.	
	Notary Public - Seal
Date:	Zeno Fook Chuen CHOW
	Zeno rook chuen chow
STATE OF)	
) ss.:	
COUNTY OF)	
This day of	, 20 , before me personally came the
above-named, to me personally k	, 20, before me personally came the nown as the individual who executed the
foregoing instrument, who acknowledged to me that	t the same was executed by him of his own
free will for the purposes therein set forth.	
	Notary Public - Seal

Date:	·
	Kelvin Yatsun LEUNG
STATE OF) ss.:	
COUNTY OF) This day of	nown as the individual who executed the
	Notary Public - Seal
Date:	Kwok Keung YEUNG
STATE OF)	
COUNTY OF)	
This day of, to me personally known above-named, to me personally known foregoing instrument, who acknowledged to me that free will for the purposes therein set forth.	
	Notary Public - Seal
Date:	
÷	Man Pui TSIM
STATE OF) ss.:	
This day of, to me personally kracket discovering instrument, who acknowledged to me that free will for the purposes therein set forth.	, 20, before me personally came the nown as the individual who executed the the same was executed by him of his own
	Mahama Publis - Cool
	Notary Public - Seal

Date:		
		Sol SOLOMON
STATE OF)	
) ss.:	
COUNTY OF)	
This day o	f	, 20, before me personally came the
		lly known as the individual who executed the e that the same was executed by him of his own n.
		Notary Public - Seal

OSTROLENK, FABER, GERB & SOFFEN, LLP

1180 AVENUE OF THE AMERICAS, NEW YORK, NEW YORK 10036-8403 TEL 212 382 0700 FAX 212 382 0888 FAX 212 398 0681 TELEX 236925 email@ostrolenk.com

PARTNERS SAMUEL H. WEINER ROBERT C. FABER EDWARD A. MEILMAN STANLEY H. LIEBERSTEIN STEVEN I. WEISBURD

STEPHEN A. SOFFEN JAMES A. FINDER WILLIAM O. GRAY LOUIS C. DUJMICH CHASLES P. LAPOLLA DOUDLAS A. MIRO

ASSOCIATES PETER MCGEE® MARC LIEBERSTEIN MATTHEW B. DERNIER MICHAEL J. SCHEER ALLISON B. HOCH

ELLEN S. TAO*

ALAN M. WEISBERG

PETER S. SLOANE DANIEL E. TIERNEY STEVEN S. RUBIN

Reg. Patent Agent

CHARLES C. ACHKAR

LARISSA A. RIPPA

OF COUNSEL MARVIN C. SOFFEN JEROME M. BERLINER MARTIN PFEFFER LEON ZITVER* J. DAVID DAINOW

* DC BAR

WASHINGTON OFFICE 1725 K STREET, N.W. WASHINGTON, D.C. 20006 TEL 202 457 7785 FAX 202 429 8919

MAX MOSKOWITZ HAROLD ENHORN

FACSIMILE TRANSMITTAL SHEET

TO:	Mr. David Perkins
FIRM:	The Chase Manhattan Bank - Australia
FACSIMILE NUMBER:	011-61-292-50-4209
FROM:	Michael J. Scheer
TOTAL NUMBE	ER OF PAGES: INCLUDING COVER SHEET.
RE: OFGS F	ILE NO.: P/2167-15
OPERATOR:	
DATE: Febr	ruary 7, 2000 TIME:
IF YOU DID	NOT RECEIVE ALL THE PAGES, PLEASE CALL BACK AS SOON

AS POSSIBLE.

Facsimile Operator Phone Number:

(212) 382-0700

Direct Line to OFGS Facsimile Machine:

(212) 382-0888 or (212) 398-0681

This message is intended only for the use of the individual(s) to which it is addressed, and may contain information that is privileged, confidential or exempt from disclosure under applicable law. If the reader of this messages is not an intended recipient, or the employee or agent responsible for delivering the message to an intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately by telephone and return the original message to us at the above address by mail. Thank you.

REMARKS:

TRANSMISSION OK

TX/RX NO.

1269

CONNECTION TEL

55503601161292504209

CONNECTION ID

START TIME

02/07 18:35

USAGE TIME

04'21

PAGES

11

RESULT

OK